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# UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

# FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

## READ ALL INSTRUCTIONS PRIOR TO COMPLETING FO

### Part I

### **Initial Listing Report**

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: 1004

NASDAQ OMX BX, Inc. (traded pursuant to unlisted trading privileges)
 Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):
 Open End Management Investment Company

3. Class of New Derivative Securities Product:

**Exchange Traded Fund** 

4. Name of Underlying Instrument:

IQ Australia Small Cap Index

5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:

**Broad-based** 

6. Ticker Symbol(s) of New Derivative Securities Product:

KROO

7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

Listed on: Australian Stock Exchange (ASX)

8. Position Limits of New Derivative Securities Product (if applicable):

Regular way trades settle on T + 3 (cash settled)

9. Position Limits of New Derivative Securities Product (if applicable):

N/A

Part II

Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

Joan Conley

Secretary

Title:

Telephone Number:

relephone Number

301-978-8735

Manual Signature of Official Responsible for Form:

Date: March 25, 2010

Securities Exchange Act of 1934

Section 19b-4 Rule 19b-4(e)

Rule Public

Public APR - 5 2016

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